

A

## Certificate of Mailing

Date of Deposit February 8, 2000

**Label Number:** EL507497549US

I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

**Luis A. Cruz**

Printed name of person mailing correspondence

Signature of person mailing correspondence

## UTILITY PATENT APPLICATION TRANSMITTAL UNDER 37 CFR §1.53(b)

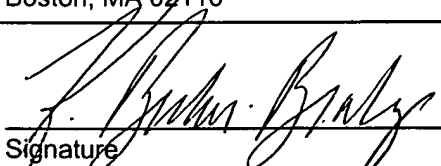

|                        |  |
|------------------------|--|
| Attorney Docket Number | 08523/006002   |
| Applicant              | Judes Poirier  |
| Title                  | PHARMACOGENETIC METHODS FOR USE IN THE<br>TREATMENT OF NERVOUS SYSTEM DISEASES |

**PRIORITY INFORMATION:**

This application is a continuation of and claims priority from United States patent application 08/766,975, filed December 16, 1996.

**APPLICATION ELEMENTS:**

|  |            |
|--|------------|
| Cover sheet  | 1 page     |
| Specification  | 37 pages   |
| Claims   | 4 pages    |
| Abstract   | 1 page     |
| Drawing  | 14 pages   |
| Combined Declaration and POA, which is:<br><input type="checkbox"/> Unsigned;<br><input type="checkbox"/> Newly signed for this application;<br><input checked="" type="checkbox"/> A copy from prior application 08/766,975 and the entire disclosure of the prior application is considered as being part of the disclosure of this new application and is hereby incorporated by reference therein. | 2 pages    |
| Statement Deleting Inventors   | [**] pages |
| Sequence Statement   | [**] pages |
| Sequence Listing on Paper  | [**] pages |
| Sequence Listing on Diskette   | [**] pages |

|   |  |
|---|--|
| Small Entity Statement, which is:<br><input type="checkbox"/> Unsigned;<br><input type="checkbox"/> Newly signed for this application;<br><input checked="" type="checkbox"/> A copy from prior application 08/766,975 and such small entity status is still proper and desired.  | 1 page   |
| Preliminary Amendment   | [**] pages   |
| IDS   | 5 pages  |
| Form PTO 1449   | 3 pages  |
| Cited References  | [**] pages   |
| Recordation Form Cover Sheet and Assignment<br>Application is assigned of record to Nova Molecular Inc.   | [**] pages   |
| Assignee's Statement  | [**] pages   |
| English Translation   | [**] pages   |
| Certified Copy of Priority Document   | [**] pages   |
| Return Receipt Postcard   | 1  |
| <b>FILING FEES:</b>   |  |
| Basic Filing Fee: \$345   | \$345.00   |
| Excess Claims Fee: $21 - 20 = 1 \times \$9$   | \$9.00   |
| Excess Independent Claims Fee: $6 - 3 = 3 \times \$39$  | \$117.00   |
| Multiple Dependent Claims Fee: \$130  | \$130.00   |
| Total Fees:   | \$601.00   |
| <input checked="" type="checkbox"/> Enclosed is a check for \$601.00 to cover the total fees.<br><input type="checkbox"/> Charge [**AMOUNT**] to Deposit Account No. 03-2095 to cover the total fees.<br><input type="checkbox"/> The filing fee is not being paid at this time.<br><input checked="" type="checkbox"/> Please apply any other charges, or any credits, to Deposit Account No. 03-2095. |  |
| <b>CORRESPONDENCE ADDRESS:</b>  |  |
| Kristina Bieker-Brady, Ph.D.<br>Reg. No. 39,109<br>Clark & Elbing LLP<br>176 Federal Street<br>Boston, MA 02110<br>Telephone: 617-428-0200<br>Facsimile: 617-428-7045   |  |
| Signature    | Date  |

Applicant or Patentee : Judes Poirier  
 Serial or Patent No. : 08/766,975  
 Filed or Issued : December 16, 1996  
 Title : PHARMACOGENETIC METHODS FOR USE IN THE TREATMENT OF NERVOUS SYSTEM DISEASES

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
 (37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: NOVA MOLECULAR DIAGNOSTICS, INC.

Address of Small Business Concern: 5252 de Maisonneuve West, Suite 105, Montreal, Quebec, CANADA

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled PHARMACOGENETIC METHODS FOR USE IN THE TREATMENT OF NERVOUS SYSTEM DISEASES by inventor Judes Poirier described in

- ☐ the specification filed herewith.  
☒ application serial no. 08/766,975, filed December 16, 1996.  
☐ patent no. [\*\*PATENT NUMBER\*\*], issued [\*\*ISSUE DATE\*\*].

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Assignee Name:

Assignee Address:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent on which this verified statement is directed.

Name: Pierre Sévigny

Title: President and CEO

Address: 5252 de Maisonneuve West, Suite 105, Montreal, Quebec, CANADA

Signature: *Judes Poirier* Date: 3/3/97